



CONDUCT OF OPERATIONS COURSE

Lesson Title: Operations Assessment

Reference:

- (a) DOE 5480.19, Conduct of Operations Requirements for DOE Facilities
- (b) DOE 5700.6C, Quality Assurance
- (c) DOE-EM-STD-5505-96, Operations Assessments
- (d) DOE O 430.1, Life Cycle Asset Management

Objectives: Upon completion of this lesson:

1. Define Operations Assessment, including the purpose, means of accomplishment, approach, and outcomes. (1.c,d)
2. Identify the key elements of assessments, surveillance, and audits, and their application. (1.c)
3. Describe the self-assessment process, and discuss how it relates to formal internal and external contractor assessments. (1.d)
4. Describe Stop Work Authority and its application. (1.k)

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- I. **Operations Assessment:** emphasizes observation of ongoing facility activities as the primary starting point for appraisal, with document reviews and interviews used as appropriate to confirm observation results or where they may assist in determining the causes of an apparent deficiency.

- Three Types of Activities:

Assessment -

Audit -

Surveillance -

- Assessment Process:

Planning -

Initial Observations, Interviews, and Document Reviews -

Observation “Do’s”:

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Observation “Don’ts”:

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Interviewing “Do’s”:

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Interviewing “Don’ts”:

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Document reviews are conducted prior to and during assessment for three basic reasons:

- 1)
- 2)
- 3)

Lead Validation ("Pulling the String"):

Determination and Reporting of Deficiencies: The end product of the assessment process is the identification and reporting of deficiencies. The assessment report provides facility management with an indication of areas needing improvement.

II. Self-Assessment Process: The same basic process for assessing the contractor or another organization is used for performing self-assessments except that the focus is inward for the purpose of self-improvement.

Some principles involved with performing independent (self) assessments include:

- A process of planned and periodic independent assessments should be established and implemented by an independent assessment organization. Independent assessments should focus on improving items and processes by emphasizing line organization's achievement of quality in operations.

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- Personnel performing independent assessments should act in a management advisory function. Their responsibilities are to monitor work performance, identify abnormal performance and precursors of potential problems, identify opportunities for improvement, report results to a level of management having the authority to effect corrective action, and verify satisfactory resolution of problems.
 - Personnel performing independent assessments should be technically knowledgeable and focus on improving the quality of the processes that lead to the end product.
 - Personnel performing independent assessments should not have direct responsibilities in the area they are assessing.
 - Independent assessments should be conducted using criteria that describe acceptable work performance and promote improvement.
 - Scheduling of assessments and allocation of resources should be based on the status, risk, and complexity of the item or process being assessed. Scheduling should be flexible and additional attention should be given to areas of questionable performance.
 - Assessment results should be tracked and resolved by management having responsibility in the area assessed. Follow up review of deficient areas should be initiated as necessary.
 - Responses to assessments should include the following, as applicable: action to correct the deficiency; cause identification; actions to prevent recurrence; lessons learned; and actions to be taken for improvement.

III. Stop Work Authority:

NOTES